

SEP 16 2002

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PATENT &amp; TRADEMARK OFFICE

FORM PTO-1449	SERIAL NO. 09/939,498	CASE NO. 10519/30
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE August 24, 2001	GROUP ART UNIT 2818
APPLICANT(S): Subramanian et al.		

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
DV	C1	5,103,422	04/1992	Tokita et al.		

EXAMINER <i>Subramanian</i>	DATE CONSIDERED 10/16/02
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



LIST OF ART CITED BY APPLICANT  (PTO-1449)	ATTY. DOCKET NO. 87354.2761	SERIAL NO. 10/075,389
	APPLICANT Craig S. RENDAHL et al.	
	FILING DATE 02/15/02	GROUP 2856

## U.S. PATENT DOCUMENTS

	EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
A	DV	3,811,776	05/21/74	BLAU, JR.	356	51	02/26/73
B		3,957,372	05/18/76	JOWETT et al.	356	51	12/19/74
C		3,696,247	10/03/72	MCINTOSH et al.	250	83.3 H	11/12/70
D		3,958,122	05/18/76	JOWETT et al.	250	346	12/19/74
E		3,973,848	08/10/76	JOWETT et al.	356	51	12/19/74
F		4,012,144	03/15/77	HEDELMAN	356	73	08/07/75
G		4,013,260	3/22/77	MCCLATCHIE et al.	250	343	09/27/74
H		4,160,373	07/10/79	Fastaia et al.	73	23	02/27/78
I		4,171,909	10/23/79	KRAMER et al.	356	73	03/25/77
J		4,204,768	05/27/80	N'GUYEN	356	243	06/16/78
K		4,310,249	01/12/82	KRAMER	356	414	10/09/79
L		4,348,732	09/07/82	KREFT	364	571	01/29/80
M		4,372,155	02/08/83	BUTLER et al.	73	114	05/20/81
N		4,390,785	06/28/83	FAULHABER et al.	250	330	12/29/80
O		4,432,316	02/21/84	OGITA	123	328	09/14/81
P		4,490,845	12/25/84	STEINBRUEGGE et al.	382	1	02/02/82
Q		4,560,873	12/24/85	MCGOWAN et al.	250	339	06/17/83
R		4,602,160	07/22/86	MACTAGGART	250	341	09/28/83
S		4,632,563	12/30/86	LORD, III	356	437	06/12/84
T	DV	4,638,345	01/20/87	ELABD et al.	357	24	06/01/83

## FOREIGN PATENT DOCUMENTS

	EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation
U							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

V	DV	Radian Corp.; "Developing an Inspection/Maintenance Program for Alternatively-Fueled Vehicles"; 1993					
W		ISLAM, Muhammed, RENDAHL, Craig S., CORS, Rebecca; "Wisconsin's Remove Vehicle Emissions Sensing Study"; Final Report 1995					
X		WALSH, P.A., GERTLER, A.W.; "Texas 1996 Remote Sensing Feasibility Study"; Final Report 1997					
Y		POPP, Peter J.; "Development of a High-Speed Ultraviolet Spectrophotometer Capable of Real-Time NO and Aromatic Hydrocarbon Detection in Vehicle Exhaust"; pp. 4-3 & 4-12; Coordinating Research Council 1997					
Z		MCVEY, Iain Frederick; "Development of a Remote Sensor for Mobile Source Nitric Oxide"; University of Denver 1992					
AA		BEATON, S.P., BISHOP, G.A. and STEDMAN D.H.; "Emissions Characteristics of Mexico City Vehicles; pp. 42, 1424-1429; Journal of Air and Waste Management Assoc. 1992					
BB		ZHANG, Yi, STEDMAN, Donald H., BISHOP, Gary A., BEATON, Stuart P., GUENTHER, Paul L. and MCVEY, Iain F.; "Enhancement of Remote Sensing for Mobile Source Nitric Oxide"; Journal of Air & Waste Management 1996; Vol. 46, pp. 25-29					
CC	DV	POPP, Peter John; "Remote Sensing of Nitric Oxide Emissions from Planes, Trains and Automobiles"; University of Denver 1999					

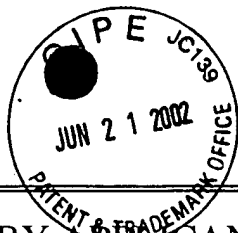
EXAMINER <i>ghuland</i>	DATE CONSIDERED 10/16/02
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				APPLICANT Craig S. RENDAHL et al.			
				FILING DATE 02/15/02		GROUP 2856	
U.S. PATENT DOCUMENTS							
	EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
A	DV	5,210,702	05/11/93	BISHOP et al.	364	496	12/26/90
B		5,239,860	08/31/93	HARRIS et al.	73	61.48	05/13/91
C		5,252,828	10/12/93	KERT et al.	250	339	04/07/92
D		5,255,511	10/26/93	MAUS et al.	60	274	09/18/92
E		5,307,626	05/03/94	MAUS et al.	60	274	09/18/92
F		5,319,199	06/07/94	STEDMAN et al.	250	338.5	06/08/92
G		5,332,901	07/26/94	ECKLES et al.	250	345	03/15/91
H		5,343,043	08/30/94	JOHNSON	250	338.5	09/13/93
I		5,361,171	11/01/94	BLEIER	359	855	03/04/93
J		5,371,367	12/06/94	DIDOMENICO et al.	250	338.5	04/13/93
K		5,373,160	12/13/94	TAYLOR	250	338.5	05/04/93
L		5,401,967	03/28/95	STEDMAN et al.	250	338.5	06/03/94
M		5,418,366	05/23/95	RUBIN et al.	250	338.5	05/05/94
N		5,489,777	02/06/96	STEDMAN et al.	250	338.5	03/03/95
O		5,498,872	03/12/96	STEDMAN et al.	250	338.5	04/21/95
P		5,545,897	08/13/96	JACK	250	339.13	10/04/94
Q		5,583,765	12/10/96	KLEEHAMMER	364	423.098	08/23/94
R		5,591,975	07/07/97	JACK et al.	250	338.5	10/05/94
S		5,621,166	04/15/97	BUTLER	73	116	04/06/95
T	DV	5,644,133	07/01/97	DIDOMENICO et al.	250	338.5	07/25/95
FOREIGN PATENT DOCUMENTS							
	EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation
U							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
V	DV	AXELSSON, Hakan, EILARD, Anders, EMANUELSSON, Annika, GALLE, Bo, EDNER, Hans, REGNARSON Par and KLOO Henrik; "Measurement of Aromatic Hydrocarbons with the DOAS Technique"; Applied Spectroscopy 1995; Vol. 49#9, pp.1254-1260					
W		BAUM, Marc M., KIYOMIYA, Eileen S., KUMAR Sasi and LAPPAS, Anastasios M. "Multicomponent Remote Sensing of Vehicle Exhaust by Dispersive Absorption Spectroscopy. 1. Effect of Fuel Type and Catalyst Performance"; Environmental Science and Technology 2000; pp. 34 & 2851-2858					
X		STEDMAN, Donald H. and SMITH, Dennis L.; "NO <sub>x</sub> Data by Remote Sensing"; Coordinating Research Council 1995; pp. 4-47 & 4-63					
Y		SHORE, P.R. and DEVRIES, R.S.; "On-line Hydrocarbon Speciation Using FTIR and CI-MS"; Society of Automotive Engineers 1992; SAE #922246					
Z		BISHOP, Gary A. and STEDMAN, Donald H.; "On-Road Carbon Monoxide Emission Measurement Comparisons for the 1988-1989 Colorado Oxy-Fuels Program"; Environmental Science & Technology 1990; pp. 24 & 843-847					
AA		STEDMAN, Donald H., BISHOP, Gary, PETERSON, James E., and GEUNTER, Paul L.; "On-Road CO Remote Sensing in the Los Angeles Basin"; CA-EPA (CARB) 1991; pp. 24 & 843-847					
BB		x-Rite Incorporated; "A Guide to Integrating Sphere Theory and Applications"; 2002; www.labsphere.com					
CC	DV	GEUNTER, Paul L., STEDMAN, Donald H., BISHOP, Gary A., BEATON, Stuart P., BEAN, James H. and QUINE Richard W.; "A Hydrocarbon Detector for the Remote Sensing of Vehicle Exhaust Emissions"; Review of Scientific Instruments 1994; Vol. 66(4), pp. 3024-3029					
EXAMINER <i>Brudahl</i>				DATE CONSIDERED 10/16/02			

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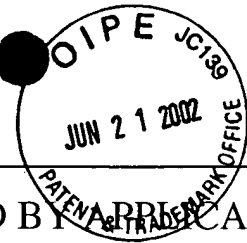
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A	DV	4,663,522	05/05/87	WELBOURN et al.	250	223 R	10/04/85
B		4,678,914	07/07/87	MELROSE et al.	250	343	04/30/84
C		4,687,934	08/18/87	PASSARO et al.	250	343	01/10/86
D		4,710,630	12/01/87	KUPPENHEIMER, JR. et al.	250	353	08/07/85
E		4,746,218	05/24/88	LORD, III	356	437	09/05/86
F		4,795,253	01/03/89	SANDRIDGE et al.	356	51	04/24/87
G		4,818,705	04/04/89	SCHNEIDER et al.	436	164	03/12/87
H		4,829,183	05/09/89	MCCLATCHIE et al.	250	346	09/11/87
I		4,868,622	09/19/89	SHIGENAKA	357	30	10/27/87
J		4,875,084	10/17/89	TOHYAMA	357	30	03/28/88
K		4,914,719	04/03/90	CONLON et al.	250	339	03/10/89
L		4,924,095	05/08/90	SWANSON, JR.	250	338.5	11/23/88
M		4,999,498	03/12/91	HUNT et al.	250	338.5	06/05/89
N		4,963,023	10/16/90	GOLDOVSKY et al.	356	308	04/17/89
O		5,002,391	03/26/91	WOLFRUM et al.	356	307	12/02/88
P		5,041,723	08/20/91	ISHIDA et al.	250	339	09/28/90
Q		5,061,854	10/29/91	KROUTIL et al.	250	339	04/10/90
R		5,076,699	12/31/91	RYAN et al.	356	437	05/01/89
S		5,157,288	10/20/92	HILL	307	511	03/15/91
T	DV	5,185,648	02/09/93	BAKER et al.	257	189	09/10/91

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U							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
X	DV	ZHANG, Yi, STEDMAN, Donald H., BISHOP, Gary A., BEATON, Stuart P., and GUENTHER, Paul L.; "Worldwide On-Road Vehicle Exhaust Emissions Study by Remote Sensing"; Environmental Science & Technology 1995; vol 29#9. Pp.2286-2294					
Y		GLOVER, Edward L., MICKELSEN, Jan and MCCLEMENT Dennis; "Evaluation of Methods to Determine Catalyst Efficiency in the Inspection/Maintenance Process; Society of Automotive Engineers; SAE#9600092					
Z		BUTLER, James, GIERCZAK, Christine and LISCOMBE Paula; "Factors Affecting the NDIR Measurement of Exhaust Hydrocarbons"; Coordinating Research Council 1995; pp.4-171 & 4-190					
AA		MACKAY, Gervase I., NADLER, S. Don, KARECKI, David R., SCHIFF, Harold I., BUTLER, James W., GIERCZAK, Christine A. and JESION, Gerald; "Final Phase 1b Report to the CRC and NREL for Research Performed Under Agreement Number VE-8-2"; Coordinating Research Council 1994					
BB		PETERSON, James E. and STEDMAN, Donald H.; "Find and Fix the Polluters"; Chemtech 1992; pp.47-53					
CC		BISHOP, Gary A. and STEDMAN Donald H.; "Infrared Emissions and Remote Sensing"; Journal of Air and Waste Management Assoc. 1992; Vol. 42#5, pp.695-697					
DD	DV	BISHOP, Gary A., STARKEY, John R., IHLENFELDT, Anne, WILLIAMS, Walter J. and STEDMAN Donald H.; "IR Long-Path Photometry: A Remote Sensing Tool for Automobile Emissions"; Analytical Chemistry 1989; vol. 61#10, pp. 671A-677A					

EXAMINER <i>Shuland</i>	DATE CONSIDERED <i>10/16/02</i>
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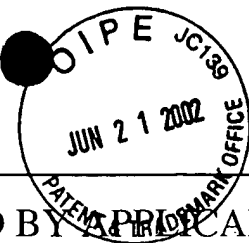
U.S. PATENT DOCUMENTS							
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A	DV	5,719,396	02/17/98	JACK et al.	250	338.5	07/01/96
B		5,726,450	03/10/98	PETERSON et al.	250	338.5	10/26/96
C		5,797,682	08/25/98	KERT et al.	374	123	01/31/97
D		5,812,249	09/22/98	JOHNSON et al.	356	28	09/26/96
E		5,831,267	11/03/98	JACK et al.	250	338.5	02/24/97
F		5,922,948	07/13/99	LESKO et al.	73	117.3	01/09/95
G		6,057,923	05/02/00	SACHSE	356	364	04/13/99
H		6,230,087	05/08/01	DIDOMENICO et al.	701	29	02/11/00
I	DV	6,307,201	10/23/01	DIDOMENICO et al.	250	339.13	12/31/98

FOREIGN PATENT DOCUMENTS							
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J							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
K	DV	STEPHENS, Robert D., MULAWA, Patricia A., GILES, Michael T., KENNEDY, Kenneth G., GROBLICKI, Peter J. and CADLE, Steven H.; "An Experimental Evaluation of Remote Sensing-Based Hydrocarbon Measurements: A Comparison to FID Measurements"; Journal of Air and Waste Management Assoc. 1996; pp. 46 & 148-158					
L		STEDMAN, Donald H.; "Automobile Carbon Monoxide Emissions"; Environmental Science and Technology 1989; vol. 23#2, pp. 147-149					
M		ADACHI, Masayuki, YAMAGISHI, Yutaka, INOUE Kaori and ISHIDA, Kozo; "Automotive Emissions Analyses using FTIR Spectrophotometer"; Society of Automotive Engineers 1992; SAE #920723					
N		KOPLOW, Michael D., JIMENEZ, Jose L., NELSON, David D., SCHMIDT, Stephan E.; "Characterization of On-Road Vehicle NO Emissions by Means of a TILDAS Remote Sensing Instrument"; Coordinating Research Council 1997; pp. 8-35 & 8-62					
O		GUENTHER, Paul Leonard; "Contributions to On-Road Remoter Sensing of Automobile Exhaust"; University of Denver 1992					
P		COX, Frank W., WALLS, John R. and CARREL, Mark W.; "Determination of Catalyst Oxidation and Reduction Efficiencies from Tailpipe Emissions Measurements"; Society of Automotive Engineers 1997; SAE #972911					
Q		LAWSON, Douglas R., GROBLICKI, Peter J., STEDMAN, Donald H., BISHOP, Gary A. and GUENTHER Paul L.; "Emissions from In-Use Motor Vehicles in Los Angeles: A Pilot Study of Remote Sensing and the Inspection and Maintenance Program"; Journal of Air and Waste Management Assoc. 1990; vol. 40#8, pp.1096-1105					
R		STEDMAN, Donald H., BISHOP, Gary A. and PITCHFORD, Marc L.; "Evaluation of a Remote Sensor for Mobile Source CO EMISSIONS"; University of Denver 1991; Rpt.# EPA 600/4-90/032					
S		MCLAREN, Scott E., STEDMAN, Donald H., GREENLAW, Pamela D., BATH, Raymond J., and SPEAR, Richard D.; "Comparison of an Open Path UV and FTIR Spectrometer"; Air and Waste Management Assoc. 1992; vol. 92-73.10					
T	DV	BISHOP, Gary A., ZHANG, Yi, MCLAREN, Scott E., GUENTHER, Paul L., BEATON, James E., STEDMAN, Donald H., DUNCAN, John W., MCARVER, Alexander Q., PIERSON, William R., GROBLICKI, Peter J., KNAPP, Kenneth T., ZWEIDINGER, Roy B. and DAY, Frank J.; "Enhancements of Remote Sensing for Vehicle Emissions in Tunnels; Journal of Air and Waste Management 1994; vol. 44, pp. 169-175					

EXAMINER <i>Wendland</i>	DATE CONSIDERED <i>10/16/02</i>
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A							
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E							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
F	DV	MCLAREN, Scott E. and STEDMAN Donald H.; "Flux Measurements Using Simultaneous Long Path Ultraviolet and Infrared Spectroscopy"; Air and Waste Management Assoc. 1990; Vol. 90-86.6					
G		BISHOP, Gary A., MCLAREN, Scott E., STEDMAN, Donald H., PIERSON, William R., ZWEIDINGER, Roy B. and RAY, William D; "Method Comparisons of Vehicle Emissions Measurements in the Fort McHenry and Tuscarora Mountain Tunnels"; Atmospheric Environment 1996; Vol. 30#12, pp. 2307-2316					
H		MCLAREN, Scott; "Open Path Spectrometers for Atmospheric Monitoring"; University of Denver 1995					
I		STEDMAN, Donald H. and BISHOP, Gary A.; "An Analysis of On-Road Remote Sensing as a Tool for Automobile Emissions Control"; Illinois Dept. of Energy & Natural Resources 1990; ILENR/RE-AQ-90/05					
J		STEDMAN, Donald H., PETERSON, James E. and MCVEY, IAIN F.; "On-Road Carbon Monoxide and Hydrocarbon Remote Sensing in the Chicago Area"; Illinois Dept. of Energy & Natural Resources 1991; ILENR/RE-AQ-91/14					
K		LYONS, Carol E. and STEDMAN, Donald H.; "Remote Sensing Enhanced Motor Vehicle Emissions Control for Pollution Reduction in the Chicago Metropolitan Area: Siting and Issue Analysis"; Illinois Dept. of Energy & Natural Resources 1991; ILENR/RE-AQ-91/15					
L		DURBIN, Thomas D., TRUEX, Timothy J. and NORBECK, Joseph M.; "Particulate Measurements and Emissions Characterizations of Alternative Fuel Vehicle Exhaust"; National Renewable Energy Laboratory 1998; NREL/SR-540-25741; Subcont# ACI-7-16637-01					
M		DIDOMENICO, John, JOHNSON, Jim, WEBSTER, Jason and RENDAHL, Craig S.; "Preliminary Results from Cold Start Sensor Testing"; Coordinating Research Council 1997; pp. 4-71 & 4-72					
N		STEPHENS, Robert D. and CADLE, Steven H.; "Remote Sensing Measurements of Carbon Monoxide Emissions from On-Road Vehicles"; Journal of Air and Waste Management Assoc. 1991; Vol. 41#1, pp. 39-46					
O		JIMENEZ, Jose L., MCRAE, Gregory J., NELSON, David D., ZAHNISER, Mark S. and KOLB, Charles E.; "Remote Sensing of NO and NO <sub>2</sub> Emissions from Heavy-Duty Diesel Trucks Using Tunable Diode Lasers"; Environmental Science & Technology 2000; pp. 34 & 2380-2387					
P	DV	STEDMAN, Donald H., BISHOP, Gary A., GUENTHER, Paul L., PETERSON, James E., BEATON, Stuart P. and MCVEY, Iain F.; "Remote Sensing of On-Road Vehicle Emissions"; University of Denver 1992; Contract #VE-8-1					
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R					
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)					
S	DV	SINGER, Brett C., HARLEY, Robert A., LITTLEJOHN, David, HO, Jerry and VO, Thu; "Scaling of Infrared Remote Sensor Hydrocarbon Measurements for Motor Vehicle Emission Inventory Calculations"; Environmental Science and Technology 1998; vol. 32#21, pp. 3241-3428			
T		ATKINSON, Chris M., MCKAIN, David L., GAUTAM, Mridul, EL-GAZZAR, Laila, LYONS, Donald W. and CLARK, Nigel N.; "Speciation of Heavy Duty Diesel Engine Exhaust Emissions"; Coordinating Research Council 1995; pp. 5-71 & 5-92			
U		CHANEY, Lucian W.; "The Remote Measurement of Traffic Generated Carbon Monoxide"; Journal of Air Pollution Control Assoc. 1983; Vol. 33#3, pp.220-222			
V		TODD, Michael and BARTH, Michael; "The Variation of Remote Sensing Emission Measurements with Respect to Vehicle Speed and Acceleration"; Coordinating Research Council 1995; pp. 4-1 & 4-14			
W		HOSHIZAKI, H., WOOD, A.D and KEMP, D.D.; "Vehicle Inspection Instrumentation"; Lockheed Missiles & Space Company 1973; ARB-3C-235-7			
X	DV	SIGSBY, JR., John E., TEJADA, Silvestre and RAY, William; "Volatile Organic Compound Emissions from 46 In-Use Passenger Cars"; Environmental Science & Technology 1987; pp. 21 & 466-475			
EXAMINER <i>Shukrat</i>				DATE CONSIDERED 10/16/02	

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
DV	A1	4,272,880	6/16/1981	Pashley		
	A2	4,442,507	4/10/1984	Roesner		
	A3	4,489,478	12/25/1984	Sakurai		
	A4	4,498,226	2/12/1985	Inoue et al.		
	A5	4,499,557	2/12/1985	Holmberg et al.		
	A6	4,646,266	2/24/1987	Ovshinsky et al.		
	A7	4,677,742	7/7/1987	Johnson		
	A8	5,070,384	12/3/1991	McCollum et al.		
	A9	5,306,935	4/26/1994	Esquivel et al.		
	A10	5,427,979	6/27/1995	Chang		
	A11	5,441,907	8/15/1995	Sung et al.		
	A12	5,602,987	2/11/1997	Harari et al.		
	A13	5,640,343	6/17/1997	Gallagher et al.		
	A14	5,745,407	4/28/1998	Levy et al.		
	A15	5,835,396	11/10/1998	Zhang		
	A16	5,929,478	7/27/1999	Parris et al.		
	A17	5,969,383	10/19/1999	Chang et al.		
DV	A18	6,034,882	3/7/2000	Johnson et al.		

**FOREIGN PATENT DOCUMENTS**

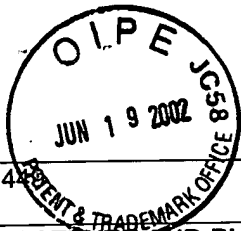
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO
DV	A19	WO 99/14763	3/25/1999	WIPO		

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
DV	A20	John H. Douglas, "The Route to 3-D Chips", <i>High Technology</i> , 3, No. 9, 55-59 (1983)
	A21	Kawashima et al., "A Charge-Transfer Amplifier and an Encoded-Bus Architecture for Low-Power SRAM's", <i>IEEE Journal of Solid-State Circuits</i> , 33, No. 5, 793-799 (1998)
	A22	Cappelletti et al., "Flash Memories", Kluwer Academic Publishers, Table of Contents, pp. 47, pp. 308 (1999)
	A23	"Three-Dimensional Read-Only Memory (3D-ROM)" [online] [retrieved on 8/10/00] retrieved from the Internet: <URL: <a href="http://sites.netscape.net/zhangpatents/3D-ROM/3D-ROM.htm">http://sites.netscape.net/zhangpatents/3D-ROM/3D-ROM.htm</a>
DV	A24	Semiconductor International, "3D-ROM-A First Practical Step Towards 3D-IC" [online] [retrieved on 8/10/00] retrieved from the Internet: <URL: <a href="http://www.semiconductor.net/semiconductor/Issues/webexclusives/200.../six00063DROM.as">http://www.semiconductor.net/semiconductor/Issues/webexclusives/200.../six00063DROM.as</a>

EXAMINER <i>Shuland</i>	DATE CONSIDERED 10/16/02
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FORM PTO-1449	SERIAL NO. 09/939,498	CASE NO. 10519/30
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE 08/24/01	GROUP ART UNIT 2818
(use several sheets if necessary)		APPLICANT(S): Subramanian et al.

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
DV	B1	3,414,892	12/03/1968	McCormack et al.	_____	
	B2	3,432,827	03/11/1969	Sarno	_____	
.	B3	3,576,549	04/27/1971	Hess et al.	_____	
.	B4	3,582,908	06/01/1971	Koo	_____	
.	B5	3,634,929	01/18/1972	Yoshida et al.	_____	
.	B6	3,717,852	02/20/1973	Abbas et al.	_____	
.	B7	3,728,695	04/17/1973	Frohman-Bentchkowsky et al.	_____	
.	B8	3,787,822	01/22/1974	Rioult	_____	
.	B9	3,990,098	11/02/1976	Mastrangelo	_____	
.	B10	4,146,902	03/27/1979	Tanimoto et al.	_____	
.	B11	4,203,123	05/13/1980	Shanks	_____	
.	B12	4,203,158	05/13/1980	Frohman-Bentchkowsky et al.	_____	
.	B13	4,281,397	07/28/1981	Neal et al.	_____	
.	B14	4,419,741	12/06/1983	Stewart et al.	_____	
.	B15	4,420,766	12/13/1983	Kasten	_____	
.	B16	4,494,135	01/15/1985	Moussie	_____	
	B17	4,500,905	02/19/1985	Shibata	_____	
.	B18	4,507,757	03/26/1985	McElroy	_____	
	B19	4,535,424	08/13/1985	Reid	_____	
.	B20	4,543,594	09/24/1985	Mohsen et al.	_____	
.	B21	4,569,121	02/11/1986	Lim et al.	_____	
	B22	4,630,096	12/16/1986	Drye et al.	_____	
	B23	4,672,577	06/09/1987	Hirose et al.	_____	
	B24	4,710,798	12/01/1987	Marcantonio	_____	
	B25	4,811,082	03/07/1989	Jacobs et al.	_____	
.	B26	4,820,657	04/11/1989	Hughes et al.	_____	
.	B27	4,823,181	04/18/1989	Mohsen et al.	_____	
.	B28	4,876,220	10/24/1989	Mohsen et al.	_____	
.	B29	4,881,114	11/14/1989	Mohsen et al.	_____	
.	B30	4,899,205	02/06/1990	Hamdy et al.	_____	
.	B31	4,922,319	05/01/1990	Fukushima	_____	
. DV	B32	4,943,538	07/24/1990	Mohsen et al.	_____	

EXAMINER <i>Swindell</i>	DATE CONSIDERED 10/15/02
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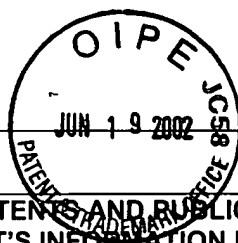
## REFERENCE DESIGNATION

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
DV	B33	5,001,539	03/19/1991	Inoue et al.	_____	
	B34	5,089,862	02/18/1992	Warner, Jr. et al.	_____	
	B35	5,160,987	11/03/1992	Pricer et al.	_____	
	B36	5,191,405	03/02/1993	Tomita et al.	_____	
	B37	5,202,754	04/13/1993	Bertin et al.	_____	
	B38	5,266,912	11/30/1993	Kledzik	_____	
	B39	5,283,468	02/01/1994	Kondo et al.	_____	
•	B40	5,311,039	05/10/1994	Kimura et al.	_____	
•	B41	5,334,880	08/02/1994	Abadeer et al.	_____	
•	B42	5,391,518	02/21/1995	Bhushan	_____	
	B43	5,398,200	03/14/1995	Mazure et al.	_____	
	B44	5,422,435	06/06/1995	Takiar et al.	_____	
	B45	5,426,566	06/20/1995	Beilstein, Jr. et al.	_____	
	B46	5,434,745	07/18/1995	Shokrgozar et al.	_____	
	B47	5,453,952	09/26/1995	Okudaira et al.	_____	
	B48	5,455,455	10/03/1995	Kurtz et al.	_____	
•	B49	5,463,244	10/31/1995	De Araujo et al.	_____	
	B50	5,468,997	11/21/1995	Imai et al.	_____	
	B51	5,471,090	11/28/1995	Deutsch et al.	_____	
	B52	5,481,133	01/02/1996	Hsu	_____	
	B53	5,495,398	02/27/1996	Takiar et al.	_____	
	B54	5,502,289	03/26/1996	Takiar et al.	_____	
	B55	5,523,622	06/04/1996	Harada et al.	_____	
	B56	5,523,628	06/04/1996	Williams et al.	_____	
•	B57	5,535,156	07/09/1996	Levy et al.	_____	
•	B58	5,536,968	07/16/1996	Crafts et al.	_____	
	B59	5,552,963	09/03/1996	Burns	_____	
	B60	5,561,622	10/01/1996	Bertin et al.	_____	
	B61	5,581,498	12/03/1996	Ludwig et al.	_____	
	B62	5,585,675	12/17/1996	Knopf	_____	
	B63	5,612,570	03/18/1997	Eide et al.	_____	
	B64	5,654,220	08/05/1997	Leedy	_____	
•	B65	5,675,547	10/07/1997	Koga	_____	
	B66	5,686,341	11/11/1997	Roesner	_____	
	B67	5,693,552	12/02/1997	Hsu	_____	
✓	B68	5,696,031	12/09/1997	Wark	_____	
DV	B69	5,703,747	12/30/1997	Voldman et al.	_____	

EXAMINER <i>Spindler</i>	DATE CONSIDERED 10/16/02
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
• DV	B70	5,737,259	04/07/1998	Chang	_____	
•	B71	5,751,012	05/12/1998	Wolstenholme et al.	_____	
•	B72	5,776,810	07/07/1998	Guterman et al.	_____	
	B73	5,780,925	07/14/1998	Cipolla et al.	_____	
	B74	5,781,031	07/14/1998	Bertin et al.	_____	
•	B75	5,801,437	09/01/1998	Burns	_____	
•	B76	5,883,409	03/16/1999	Guterman et al.	_____	
	B77	5,915,167	06/22/1999	Leedy	_____	
	B78	5,969,380	10/19/1999	Seyyedy	_____	
	B79	5,976,953	11/02/1999	Zavracky et al.	_____	
	B80	5,985,693	11/16/1999	Leedy	_____	
	B81	6,057,598	05/02/2000	Payne et al.	_____	
	B82	6,072,234	06/06/2000	Camien et al.	_____	
	B83	6,087,722	07/11/2000	Lee et al.	_____	
	B84	6,133,640	10/17/2000	Leedy	_____	
	B85	6,185,122 B1	02/06/2001	Johnson et al.	_____	
	B86	6,197,641 B1	03/06/2001	Hergenrother et al.	_____	
	B87	6,208,545 B1	03/27/2001	Leedy	_____	
	B88	6,281,042 B1	08/28/2001	Ahn et al.	_____	
	B89	6,291,858 B1	09/18/2001	Ma et al.	_____	
	B90	6,307,257 B1	10/23/2001	Huang et al.	_____	
	B91	US2001/0033030 A1	10/25/2001	Leedy	_____	
	B92	6,314,013 B1	11/06/2001	Ahn et al.	_____	
	B93	6,322,903 B1	11/27/2001	Siniaguine et al.	_____	
	B94	US2001/0054759 A1	12/27/2001	Nishiura	_____	
	B95	6,337,521 B1	01/08/2002	Masuda	_____	
	B96	6,351,028 B1	02/26/2002	Akram	_____	
	B97	6,353,265 B1	03/05/2002	Michii	_____	
	B98	6,355,501 B1	03/12/2002	Fung et al.	_____	
	B99	US2002/0024146 A1	02/28/2002	Furusawa	_____	
	B100	US2002/0027275 A1	03/07/2002	Fujimoto et al.	_____	
	B101	US2002/0030262 A1	03/14/2002	Akram	_____	
	B102	US2002/0030263 A1	03/14/2002	Akram	_____	
•	B103	3,671,948	06/20/72	Cassen et al.	_____	
•	B104	5,070,383	12/91	Sinar et al.	_____	
•	B105	5,391,917	2/95	Gilmour et al.	_____	
• DV	B106	5,854,534	12/98	Beilin et al.	_____	

EXAMINER <i>f. Fuland</i>	DATE CONSIDERED <i>10/16/02</i>
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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
• DV	B107	5,903,059	5/99	Bertin et al.	_____	
•	B108	5,960,539	10/99	Burns	_____	
•	B109	5,978,258	11/99	Manning	_____	
•	B110	6,049,123	4/00	Burns	_____	
•	B111	3,863,231	1/75	Taylor	_____	
•	B112	4,229,757	10/80	Moussie	_____	
	B113	5,103,422	4/92	Tokita et al.	_____	
•	B114	4,855,953	8/89	Tsukamoto et al.	_____	
	B115	5,436,861	7/95	Katti et al.	_____	
DV	B116	5,289,410	2/94	Katti et al.	_____	

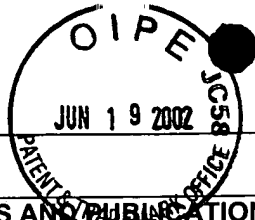
## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO
DV	B117	EP 0 073 486 A2	03/09/1983	Europe	_____	X
	B118	JP 60-22352 A	02/04/1985	Japan	_____	Abstract
	B119	JP 61222216 A	10/02/1986	Japan	_____	Abstract
	B120	JP 63-52463 A	03/05/1988	Japan	_____	Abstract
	B121	EP 0 387 834 A2	09/19/1990	Europe	_____	X
	B122	EP 0 395 886 A2	11/07/1990	Europe	_____	X
	B123	EP 0 516 866 A1	12/09/1992	Europe	_____	X
	B124	EP 0 606 653 A1	07/20/1994	Europe	_____	X
	B125	WO 94/26083	11/10/1994	WIPO	_____	X
	B126	EP 0 644 548 A2	03/22/1995	Europe	_____	X
DV	B127	EP 0 800 137 A1	10/08/1997	Europe	_____	X

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
DV	B128	Akasaka, Yoichi, "Three-Dimensional Integrated Circuit: Technology and Application Prospect," Microelectronics Journal, Vol. 20 No. 1 - 2, 1989, pages 105 - 111
DV	B129	Akasaka, Yoichi, "Three-Dimensional IC Trends," Proceedings of the IEEE, Vol. 74, No. 12, December 1986, pages 1703 - 1714
DV	B130	Bertin, Claude L., "Evaluation of a Three-Dimensional Memory Cube System," IEEE Transactions on Components, Hybrids, and Manufacturing Technology, Vol. 16, No. 8, December 1993, 1006 - 1011

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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
DV	B131	Camperi-Ginestet, C., "Vertical Electrical Interconnection of Compound Semiconductor Thin-Film Devices to Underlying Silicon Circuitry," IEEE Photonics Technology Letters, Vol. 4, No. 9, September 1992, pages 1003 - 1006
.	B132	Frohman-Bentchkowsky, Dov, "A Fully Decoded 2048-Bit Electrically Programmable FAMOS Read-Only Memory," IEEE Journal of Solid-State Circuits, Vol. SC-6, No. 5, October 1971, pages 301- 306
	B133	Hayashi, Y., "A New Three Dimensional IC Fabrication Technology, Stacking Thin Film Dual-CMOS Layers," IEDM 1991, pages 657 - 660
	B134	Hayasky, Fumihiko, "A Self-Aligned Split-Gate Flash EEPROM Cell with 3-D Pillar Structure" 1999 Symposium on VLSI Technology Digest of Technical Papers, pages 87 - 88
	B135	"3-D Chip-on-Chip Stacking," Industry News, Semiconductor International, December 1991
	B136	Inoue, Y., "A Three-Dimensional Static RAM," IEEE Electron Device Letters, Vol. Edl.-7, No. 5, May 1986, pages 327 - 329
	B137	Jokerst, N.M., "Manufacturable Multi-Material Integration Compound Semiconductor," SPIE - The International Society for Optical Engineering, Vol. 2524, July 11 - 12, 1995, pages 152 - 163
	B138	Kurokawa, Takakazu, "3-D VLSI Technology in Japan and an Example: A Syndrome Decoder for Double Error Correction," Future Generations Computer Systems 4, No. 2, September 1988, pages 145 - 155
	B139	Lay, Richard W., "TRW Develops Wireless Multiboard Interconnect System," Electronic Engineering Times, November 5, 1984
	B140	Maliniak, David, "Memory-Chip Stacks Send Density Skyward," Electronic Design 42, No. 17, August 22, 1994, pages 69 - 75
	B141	Pein, Howard, et al., "Performance of the 3-D PENCIL Flash EPROM Cell and Memory Array," IEEE Transactions on Electron Devices, Vol. 42, No. 11, November 1995, pages 1982 - 1991
	B142	Reber, M., et al., "Benefits of Vertically Stacked Integrated Circuits for Sequential Logic," IEEE 1996, pages 121 - 124
	B143	Sakamoto, Koji, "Architecture of Three Dimensional Devices," Bulletin of The Electrotechnical Laboratory, Vol. 51, No. 1, 1987, pages 16 - 29
.	B144	Sato, Noriaki, et al., "A New Programmable Cell Utilizing Insulator Breakdown," IEAM Technical Digest, 1985, pages 639 - 642
	B145	Schlaeppe, H.P., "Microsecond Core Memories Using Multiple Coincidence," 1960 International Solid-State Circuits Conference, Digest of Technical Papers, February 11, 1960, pages 54 - 55
	B146	Schlaeppe, H.P., "Microsecond Core Memories Using Multiple Coincidence," IRE Transactions on Electronic Computers, June, 1960, pages 192 - 198
	B147	Stacked Memory Modules, IBM Technical Disclosure Bulletin, May 1995, pages 433 - 434
DV	B148	Stern, Jon M., "Design and Evaluation of an Epoxy Three-Dimensional Multichip Module," IEEE Transactions on Components, Packaging, and Manufacturing Technology - Part B, Vol. 19, No. 1, February 1996, pages 188 - 194

EXAMINER <i>Strudland</i>	DATE CONSIDERED 10/16/02
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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
DV	B149	Terrill, Rob, "3D Packaging Technology Overview and Mass Memory Applications," IEEE 1996, pages 347 - 355
	B150	Thakur, Shashidhar, "An Optimal Layer Assignment Algorithm for Minimizing Crosstalk for Three Layer VH Channel Routing," IEEE 1995, pages 207 - 210
	B151	Watanabe, H., "Stacked Capacitor Cells for High-Density Dynamic RAMs," IEDM 1988, pages 600 - 603
	B152	Yamazaki, K., "Fabrication Technologies For Dual 4-KBIT stacked SRAM," IEDM 1986, pages 435 - 438
	B153	"Multilayered Josephson Junction Logic and Memory Devices," Lomatch, S; Rippert, E.D.; Ketterson, J.B., Proceedings of the SPIE-The International Society for Optical Engineering Vol. 2157 p. 332-43
	B154	"Advanced Cell Structures for Dynamic RAMs," Lu, N.C.C.: IEEE Circuits and Devices Magazine, Vol.5 no.1 p. 27-36 January 1989
	B155	"Architecture of Three Dimensional Devices," Sakamoto, K.: Journal: Bulletin of the Electrotechnical Laboratory Vol. 51, no.1 p. 16-29 1987
	B156	"Wide Application of Low-Cost Associative Processing Seen," Electronic Engineering Times, p 43, August 26, 1996
	B157	"Interconnects & Packaging," Electronic Engineering Times, p43, June 24, 1996
	B158	"Closing in on Gigabit DRAMs," Electronic Engineering Times, p035, November 27, 1995
	B159	"Module Pact Pairs Cubic Memory with VisionTek," Semiconductor Industry & Business Survey, v17, n15, pN/A October 23, 1995
	B160	"Layers of BST Materials Push Toward 1Gbit DRAM," Electronics Times, p 10, October 19, 1995
	B161	"Technologies Will Pursue Higher DRAM Densities," Electronic News (1991), p 12 December 5, 1994
	B162	"Looking for Diverse Storage," Electronic Engineering Times, p 44 October 31, 1994
	B163	"Special Report: Memory Market Startups Cubic Memory: 3D Space Savers," Semiconductor Industry & Business Survey, v16, n13, pN/A September 12, 1994
	B164	"Technique Boosts 3D Memory Density," Electronic Engineering Times p 16 August 29, 1994
	B165	"Memory Packs Poised for 3D Use," Electronic Engineering Times p 82 December 7, 1992
	B166	"MCMs Hit the Road," Electronic Engineering Times p 45 June 15, 1992
	B167	"IEDM Ponders the "Gigachip" Era," Electronic Engineering Times , p 33 January 20, 1992
	B168	"Tech Watch: 1-Gbit DRAM in Sight," Electronic World News, p 20 December 16, 1991
	B169	"MCMs Meld into Systems," Electronic Engineering Times p 35 July 22, 1991
DV	B170	"Systems EEs see Future in 3D," Electronic Engineering Times p 37 September 24, 1990

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